



Laboratory Internal Audit Course

Aim: To provide and aid understanding of the internal audit process and its value to management. The course is run on an interactive basis and provides an opportunity for delegates to perform an internal audit through role-play.

Who should attend: Anyone involved with or interested in the use of internal audit, new quality managers and new laboratory staff.

Duration: A two-day programme.

Where: Sunningdale Park, Ascot, Berkshire

Tutors: Courses are delivered by UKAS Assessment Managers



Course Programme

Day One

09:00 - 09:15: Registration and Coffee

Introductions and Course Briefing

Internal Laboratory Audits

Aim: To provide an understanding of the role and purpose of internal audits, in particular with regard to the assessment standard ISO/IEC 17025

Exercise: Aspects to be Audited and Audit Programme

Aim: To facilitate understanding of the need to audit all aspects of a laboratory's work, including witnessing tests and calibrations and to discuss the need for different areas to be audited at appropriate intervals. The concept of horizontal and vertical audits will be introduced

Witnessing Tests and Calibrations

Aim: To provide an insight into the human aspects of assessment of colleagues performing calibrations/tests and to highlight good practice; to examine how to audit regular tests, infrequent tests and tests of long duration in order to provide a cost effective audit

Audit Records

Aim: To introduce the concept of audit checklists, making observations (good practice, opportunities for improvement and non-compliances) and preparing a report for management

Q&A session

Lunch

Exercise: Development of an Audit Check List

Aim: To develop together a basic 'pro-forma' checklist that could be used to audit any aspect of a laboratory's system. This will be developed further to include tests/calibrations performance

Exercise: Production of a Check List for Use During a Witnessed Test on Day 2

Aim: Group exercise to put into practice the audit checklist produced, in preparation for Day 2

Corrective and Preventive Action

Aim: To define and highlight differences between corrective and preventive action, to explore the need for underlying faults to be identified and corrected and to gain an appreciation of their role in an internal audit

Exercise: Development of Observation/Non-compliance Form

Aim: To discuss and develop in open session the most effective way of recording observations made during audits

Human Aspects of Auditing

Aim: To provide an understanding of the need for empathetic interpersonal skills and how to deal with other work colleagues during the auditing procedure

Exercise: Preventive Actions

Aim: To enable delegates to consider what preventive actions could be applicable to some provided scenarios that could occur in any laboratory

Day Two

Exercise: Witnessing Tests and Corrective Actions

Aim: Two sessions running in parallel to give all delegates, working in groups in a 'safe environment', the opportunity to audit the performance of a test and raise observations, and propose corrective actions for given scenarios

Briefing for Both Exercises – all groups

First Group

Preparation for Audit Exercise;
Witnessing test and checking paper work;
Extracting observations and non-compliances from audit
Corrective Action Exercise

Second Group

Corrective Action Exercise
Preparation for Audit Exercise
Witnessing Test and checking paper work
Extracting observations and non-compliances from audit

Exercise: Preparation for Reporting Findings to Auditee

Aim: To provide time for delegates to prepare for reporting their findings back to auditee

Lunch

Exercise: Reporting Findings of Audit to Auditee

Aim: To provide a 'safe environment' in which to practice a meeting with the auditee and for the auditor to report his/her findings. It also provides tutors with an opportunity to highlight good practice

Report Back on Witnessed Activity and Meeting with Auditee

Aim: To discuss what worked and what didn't and to discuss why this was so and to provide an opportunity to reinforce good practice

Report Back on Corrective and Preventive Actions

Aim: To provide feedback on the appropriateness of corrective actions identified for the given scenarios; to reinforce the need to get to the root cause; to discuss the corrective/preventive actions and time-scales proposed

The Audit Report

Aim: To understand the need to provide management with a clear concise report of the audit and to explore the content of such a report

Exercise: Production of Audit Report for Management and Report Back

Aim: To provide delegates with an opportunity to produce and present an audit report for management

Management Review

Aim: To inform delegates of the structure of a management review and how the audit findings contribute to it

Open forum

Aim: To provide an opportunity for delegates to ask any further questions about auditing and for the tutors to answer outstanding questions posed during the course

Close of Course